

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

|                        |               |  |
|------------------------|---------------|--|
| Application Number     |               |  |
| Filing Date            |               |  |
| First Named Inventor   | Tomoori ODAKA |  |
| Art Unit               |               |  |
| Examiner Name          |               |  |
| Attorney Docket Number | 60303.61/ok   |  |

**U.S. PATENTS**


| Examiner Initial* | Cite No | Patent Number | Kind Code <sup>1</sup> | Issue Date | Name of Patentee or Applicant of cited Document | Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear |
|-------------------|---------|---------------|------------------------|------------|---|--|
|                   | 1       | 6468365       |                        | 2002-10-22 | Uchida et al.                                   |  |
|                   | 2       | 6403024       |                        | 2002-06-11 | Oota et al.                                     |  |
|                   | 3       | 6491765       |                        | 2002-12-10 | Okayama et al.                                  |  |

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**U.S. PATENT APPLICATION PUBLICATIONS**


| Examiner Initial* | Cite No | Publication Number | Kind Code <sup>1</sup> | Publication Date | Name of Patentee or Applicant of cited Document | Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear |
|-------------------|---------|--------------------|------------------------|------------------|---|--|
|                   | 1       | 20050028892        |                        | 2005-02-10       | Sasaki  |  |
|                   | 2       | 20040163737        |                        | 2004-08-26       | Tomizawa et al.                                 |  |

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**FOREIGN PATENT DOCUMENTS**


| Examiner Initial* | Cite No | Foreign Document Number <sup>3</sup> | Country Code <sup>2</sup> i | Kind Code <sup>4</sup> | Publication Date | Name of Patentee or Applicant of cited Document | Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear | T <sup>5</sup> |
|-------------------|---------|--------------------------------------|-----------------------------|------------------------|------------------|---|--|----------------|
|-------------------|---------|--------------------------------------|-----------------------------|------------------------|------------------|---|--|----------------|

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|--|------------------------|---------------|----------------------|--|
| <b>Receipt date: 08/09/2006</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br>( Not for submission under 37 CFR 1.99) | Application Number     |               | 10597853 - GAU: 1793 |  |
|  | Filing Date            |               |                      |  |
|  | First Named Inventor   | Tomoori ODAKA |                      |  |
|  | Art Unit               |               |                      |  |
|  | Examiner Name          |               |                      |  |
|  | Attorney Docket Number | 60303.61/ok   |                      |  |

|  |   |             |    |    |            |  |  |                                     |
|--|---|-------------|----|----|------------|--|--|-------------------------------------|
|  | 1 | 02/072900   | WO | A2 | 2002-09-19 |  |  | <input checked="" type="checkbox"/> |
|  | 2 | 2002-266006 | JP | A  | 2002-09-18 |  |  | <input checked="" type="checkbox"/> |
|  | 3 | 08-269643   | JP | A  | 1996-10-15 |  |  | <input checked="" type="checkbox"/> |
|  | 4 | 2000-188213 | JP | A  | 2000-07-04 |  |  | <input checked="" type="checkbox"/> |
|  | 5 | 2003-188006 | JP | A  | 2003-07-04 |  |  | <input checked="" type="checkbox"/> |

If you wish to add additional Foreign Patent Document citation information please click the Add button

#### NON-PATENT LITERATURE DOCUMENTS

| Examiner Initials* | Cite No | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>5</sup>                      |
|--------------------|---------|---|-------------------------------------|
|                    | 1       | International Search Report issued in the corresponding International Application No. PCT/JP2005/008019, mailed on August 16, 2005.   | <input checked="" type="checkbox"/> |

If you wish to add additional non-patent literature document citation information please click the Add button

#### EXAMINER SIGNATURE

|                    |                |                 |            |
|--------------------|----------------|-----------------|------------|
| Examiner Signature | /John Sheehan/ | Date Considered | 03/04/2009 |
|--------------------|----------------|-----------------|------------|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> See Kind Codes of USPTO Patent Documents at [www.USPTO.GOV](http://www.USPTO.GOV) or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.

Receipt date: 08/09/2006

10597853 - GAU: 1793

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| Attorney Docket Number | 60303.61/ok   |                      |  |

**CERTIFICATION STATEMENT**

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

**OR**

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☐ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ None

**SIGNATURE**

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

|            |                             |                     |            |
|------------|-----------------------------|---------------------|------------|
| Signature  | /Joseph R. Keating #37,368/ | Date (YYYY-MM-DD)   | 2006-08-09 |
| Name/Print | Joseph R. Keating           | Registration Number | 37368      |

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

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5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

~~ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /J.S./~~

Docket Number  
60303.61/ok

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|  |   |
|--|---|
| Applicants: Tomoori ODAKA et al.   | International Application No.:<br>PCT/JP2005/008019 |
| Application No.: Currently unknown   |   |
| Filing or 371(c) Date: Concurrently herewith   | International Filing Date:<br>April 27, 2005        |
| Title: METHODS FOR PRODUCING RAW<br>MATERIAL ALLOY FOR RARE EARTH<br>MAGNET, POWDER AND SINTERED<br>MAGNET |   |

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with 37 CFR §1.56, and in recognition of their duty to disclose to the United States Patent and Trademark Office relevant information known to be material to patentability, Applicants herewith cite the references listed on the attached Form PTO-SB-08.

U.S. Patent Application Publication Reference No. 2 corresponds to Japanese Patent Application No. 2003-507836, found on page 7 of the Substitute Specification.

The statement is not a representation that all of the information cited is necessarily effective as prior art against the application.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /J.S./

Applicants respectfully request that the cited references be made of record in the subject application.

Respectfully submitted,

Dated: August 9, 2006

/Joseph R. Keating #37,368/  
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